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EG&G - ROCKY FLATS PLANT
ENVIRONMENTAL MANAGEMENT

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**ROCKY FLATS PLANT
EMD ADMINISTRATION
PROCEDURES MANUAL**

CATEGORY 1

Manual No.: 3-21000-ADM
Procedure No.: Table of Contents, Rev 3
Page: 1 of 4
Effective Date: 04/08/92
Organization: Environmental Management

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ADMIN RECORD

A-SW-001037

REVIEWED FOR CLASSIFICATION/LICM
By George H. Setlock
Date www 4/30/92

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ADMINISTRATIVE PROCEDURE MANUAL

NOT RELATED TO
PLANT SAFETY

Approved By:

Category 1
EFFECTIVE: May 11, 1992

[Signature] 4/8/92
Director, Environmental Management Date

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By *[Signature]*

Date 4/30/92 *[Signature]*

1.0 PURPOSE

This procedure describes the methods and responsibilities to be used for the control of procurement documents. These controls are intended to ensure that applicable regulatory requirements and design bases are included or referenced in the procurement documents when procuring quality-affecting items or services.

2.0 SCOPE

This procedure applies to all documents in a purchase requisition package for the Environmental Management (EM) Department for the procurement of quality-affecting items or services. This procedure addresses only the quality assurance (QA) requirements. Other guidance, instructions, procedures, and requirements may be established by EM Department management or other Rocky Flats Plant (RFP) organizations.

3.0 DEFINITIONS

- 3.1 **Basic Ordering Agreement (BOA)** - An agreement between RFP procurement organization and a subcontractor that provides for the services from that subcontractor, based upon a previous competitive award. Under a BOA, each statement of work is considered a separately awarded subcontract and terms and conditions must be negotiated. The term BOA is used interchangeably with the term Master Task Agreement (MTA) in this procedure.
- 3.2 **Clarification of Task (COT)** - A written directive provided to the subcontractor holding a specific ongoing subcontract by the EM Department Technical Program manager for clarification of requirements. The requirements must be within the scope of the subcontract and funded under the subcontract for which the COT is issued.

- 3.3 **Invoice** - A bill for services performed or products received, which have been presented by a subcontractor to the RFP procurement organization for approval and payment.
- 3.4 **Procurement** - The responsible designated RFP procurement organization for procurement actions. This incorporates the procurement function.
- 3.5 **Proposal** - A document submitted by a vendor in response to a request for proposal.
- 3.6 **Purchase Order (PO)** - The document issued by RFP procurement organization to a vendor as the end result of a Purchase Requisition. This document contains the specific contractual, technical, and quality requirements for task performance.
- 3.7 **Purchase Requisition (PR) Package** - The initiating document package for procurement of a subcontract or a task under a subcontract. In the context of this document, a Purchase Requisition package includes all required supporting documents.
- 3.8 **Quality Assurance Coordinator (QAC)** - The Division QA coordinator selected by the Division Manager.
- 3.9 **Quality-Affecting Purchase Order** - A PO for an item or service procured under the EM Department and site QA plans. This item or service is quality-related if it affects the quality of the data or compliance with applicable QA requirements.
- 3.10 **Request for Proposal** - A document prepared by the EM Department and the RFP procurement organization which is distributed to potential subcontractors requesting proposals to provide services and/or products for RFP and Department of Energy (DOE).
- 3.11 **Statement of Work (SOW)** - A statement of the item or services to be provided by the vendor or subcontractor. This should include all relevant tasks, deliverables, and requirements. Section 5.2 provides a summary of the minimum requirements (based

on the EM Department QAPD) for the SOW in procurement documentation. This term is used interchangeably with MTA task orders in this procedure.

- 3.12 **Subcontract** - A document or series of documents between RFP procurement organization and a vendor (subcontractor) which require performance of EM Department-related services. A subcontract may only be awarded by the RFP procurement organization and must be executed by both RFP and the subcontractor.
- 3.13 **Subcontractor Representative (STR)** - The specific individual EM Department staff member who has been designated as the responsible technical manager for a specific subcontract or task under a subcontract.
- 3.14 **Task** - A document executed by the RFP procurement organization and a subcontractor which authorizes a specific increment of work to be performed under the auspices of a subcontract.
- 3.15 **Technical Review Board (TRB)** - A panel of RFP personnel who have been selected for review of proposals submitted in response to a request for proposal for competitive selection of a vendor or vendors.
- 3.16 **Justification for Noncompetitive Procurement (JNCP)** - Documents submitted with the PR which justify the requirements for sole source procurement of a service or material.
- 3.17 **Subcontractor Administrator (SA)** - The specific individual Procurement employee who has been designated as the representative of the plant Contracting Officer (CO) and who is responsible for ensuring that all contractual procurement actions are properly executed.
- 3.18 **Organization Conflict of Interest (OCI)** - Documents submitted with the PR which identify any potential conflict of interest situations.

4.0 RESPONSIBILITIES

- 4.1 The EM Department Environmental Resources and Information Management Division (ERIMD) provides administrative subcontract management under the auspices of the EM Department, and is responsible for:
- 4.1.1 Serving as the central point-of-contact with the RFP procurement organization with regard to aspects of PR package processing to include competitive procurement, processing of new activities under BOAs, and contract/task modifications.
 - 4.1.2 Providing timely assistance to EM Department personnel in developing documentation for aspects of PR Packages. ERIMD may prepare the actual PR Package.
 - 4.1.3 Assisting EM Department personnel in developing appropriate documentation for EM Department procurement actions. This includes the documentation mandated by this procedure and other plant procedures, instructions, guidance, and documents.
 - 4.1.4 Assuring that consistent documentation is utilized for procurement actions.
 - 4.1.5 Serving as intermediary on any required conflict resolution between EM Department requisitioner and RFP procurement organization.
 - 4.1.6 Maintaining a centralized file pertaining to positive and negative aspects of subcontractor performance for possible use in the future.

- 4.2 Requisitioner/Subcontractor Technical Representative (STR) is responsible for preparation of technical requirements for PR packages and technical subcontract management for subcontracts under the auspices of the EM Department. The requisitioner and the STR may be different individuals. Responsibilities include:
- 4.2.1 Informing ERIMD of PR package requirements; providing applicable drawings, specifications, performance requirements, and time frame of service requirements. The requisitioner is responsible for preparation of the PR Package.
 - 4.2.2 Reviewing procurement documents which ERIMD prepares for technical adequacy, accuracy, and completeness. Based on this review, the STR will approve ERIMD-prepared procurement documents.
 - 4.2.3 Coordinating/monitoring procurement requirements through ERIMD.
 - 4.2.4 Complying with QA program requirements, including establishment the applicable QA requirements for the procurement in conjunction with the QAPM.
 - 4.2.5 Participating in competitive procurement technical review panels.
 - 4.2.6 Providing technical management and oversight of subcontracted functions for which they are assigned responsibility. This includes technical review of products, monitoring of ongoing operations, technical negotiation, developing any required clarification of task documentation in conjunction with ERIMD, and coordinating with subcontractor representatives.
 - 4.2.7 Promptly informing ERIMD of problems encountered with regard to subcontract administration.

4.3 EMD Division Managers are responsible for the following:

- 4.3.1 Appointing a Requisitioner/STR who will be responsible for technical oversight of subcontractor-performed operations for the specific contract/task to which they are assigned.
- 4.3.2 Overseeing the activities and implementing the responsibilities of the requisitioner and the STR.
- 4.3.3 Approving PR Packages for adequacy, accuracy, and completeness.

4.4 The EM Department Quality Assurance Program Manager (OAPM), or designee, is responsible for:

- 4.4.1. Reviewing and verifying all potentially quality-related PR Packages for inclusion of quality-related requirements.
- 4.4.2. Assisting the Requisitioner/STR in establishing the applicable QA requirements for the procurement.
- 4.4.3. Reviewing and approving all quality-affecting PR Packages and POs to verify that the quality requirements are met.

5.0 INSTRUCTIONS

5.1 Procurement of Items or Services

- 5.1.1 The Requisitioner/STR provides the information for inclusion during the preparation of the PR package, including:
 - 1. applicable regulatory requirements,
 - 2. design bases,
 - 3. QA requirements, and
 - 4. other requirements necessary to assure that adequate technical and quality

requirements are included or referenced in the PR package. (The selection of appropriate requirements and the detail specified shall reflect the importance, criticality, or complexity of the items or services being procured).

NOTE

Assistance with preparing the QA requirements may be obtained from the QAPM. (See Section 5.2 for basic requirements).

- 5.1.2 ERIMD or the Requisitioner/STR shall prepare the PR package consistent with:
1. this procedure,
 2. applicable instructions, procedures, documents, and requirements established by the EM Department or other RFP organizations.
- 5.1.3 When ERIMD is preparing procurement documentation, they shall ensure that the information provided by the Requisitioner/STR is included in the PR package or obtain the requisitioner/STR's concurrence with any change.
- 5.1.4 The requisitioner/STR(s) shall be provided a copy of the documentation for review and approval (per Section 5.4) prior to issuance of the PR package and to any subsequent revisions of the PR package and associated documentation.
- 5.1.5 ERIMD or the Requisitioner/STR shall obtain the approval of the QAPM or designee (per Section 5.4) prior to issuance of the PR package and to any subsequent revision of the PR package and associated documentation. QAPM approval is based on compliance with the requirements in Section 5.2.

NOTE

Requisitioner/STR(s) should avoid answering vendor questions on competitive procurement, referring such queries to the procurement organization. This should provide for consistent answers to vendor queries.

- 5.1.6 ERIMD shall assist in tracking the request through the approval process, keeping the requisitioner/STR informed, and providing a copy of the completed documentation.
- 5.1.7 For competitive procurement, ERIMD shall assist in formulation of the TRB, provide administrative support during the review process, and prepare TRB recommendations for submission to the RFP procurement organization.
- 5.1.8 If the PR package is acceptable, ERIMD shall forward the PR package to the RFP procurement organization for final processing.

NOTE

Based on the procurement requisition package, a purchase order or contract is prepared by the RFP procurement organization. The finalized document shall be reviewed and approved by the user organization before it is executed. As the single point-of-contact with the RFP procurement organization, ERIMD shall coordinate approval.

- 5.1.9 ERIMD shall provide complete coordination with RFP procurement organization throughout the competitive process.
- 5.1.10 ERIMD shall obtain the requisitioner/STR evaluation of the technical content of any bids and this evaluation shall be the primary basis for assessing technical adequacy of the bid.

- 5.1.11 ERIMD shall obtain input from the STR in answering vendor technical questions and from the QAPM or designee in answering vendor QA questions. This should provide for accurate and consistent answers to vendor queries. Once a contract is established, see Section 5.3 for the interfaces.
- 5.1.12 Upon subcontract/task award, ERIMD shall establish the project as active, establish invoice tracking, and transfer technical management to the Requisitioner/STR.
- 5.1.13 Changes to POs or Contracts shall be completed as described in Section 5.5.
- 5.1.14 PR packages, requests for proposal, POs, and other procurement documents generated by the implementation of this procedure shall be considered QA records and shall be handled in accordance with EM Department QAPD, section 17 and EM Department Procedure 17.01, "QA Records."

5.2 Requirements for the Procurement of Quality-Affecting Items or Services/Content of the Statement of Work (SOW)

NOTE

Sample QA statements for various types of procurements shall be included in the Environmental Management Department Document Preparation Guidance.

- 5.2.1 The procurement documents shall include the following provisions as deemed necessary:
 - 1. Scope of Work - A statement of the work to be performed by the supplier.
 - 2. Technical Requirements - Where necessary, these requirements shall be specified by reference to specific drawings, specifications, codes, standards,

regulations, procedures, or instructions, including revisions thereto, that describe the items or services to be furnished.

3. The procurement documents shall provide for identification of test, inspection (See Appendix 2), and acceptance requirements of the purchaser for monitoring and evaluating the supplier's performance to the extent specified by the organization originating the procurement action.
4. QA Program Requirements - Procurement documents shall require:
 - a) that the supplier have a documented and EMD-approved QA Program, or
 - b) that the supplier follows the EMD QAPD, as well as applicable requirements or implementing documents (e.g., the Quality Assurance Project Plan (QAPjP), Work Plans (WP), and procedures).

A supplier's QA program used as a basis for the procurement shall be part of the contract with the supplier.

- a. The extent of the program required shall depend upon the type and use of the item or service being procured and the instructions of the initiating organization.
- b. The procurement documents shall require the supplier to incorporate appropriate QA program requirements in subtier procurement documents.
- c. The QA program and documents of subcontractors for quality-affecting purchases shall be approved by the requisitioning organization and the EMD QAPM, or designee.

- d. In developing QA requirements for test and other equipment, consideration shall be given to whether proper performance of that equipment can be determined during or after its use (i.e., whether failure or malfunction of the equipment can be detected).
- 5. Rights of Access - At each tier of procurement, the procurement document shall provide for access to the suppliers' facilities and records for inspection (See Appendix 2) by EMD QA and/or Technical Personnel.
- 6. Documentation Requirements - The procurement documents shall identify the documentation required for submission to the Requisitioner/STR.
 - a. A deliverable schedule shall be established.
 - b. The retention times and disposition requirements for required supplier QA records shall be specified in accordance with the information provided by the Requisitioner/STR.
- 7. Spare and Replacement Parts - The procurement documents shall require the identification of appropriate spare and replacement parts or assemblies, and delineation of the technical and quality-related data that is required for ordering parts or assemblies.
 - a. The technical and quality requirements shall be equal to or better than the original item.
 - b. If QA or technical requirements of the original item cannot be determined by the Requisitioner/STR, a documented engineering evaluation shall be

conducted by qualified individuals to establish the requirements. This evaluation shall consider the interchangeability, function, and safety of the item. This evaluation shall be documented.

8. Nonconformances - The procurement documents shall require the supplier to submit nonconformance reports to the RFP procurement organization for disposition and/or approval of nonconformances occurring at the supplier's facility that impact the item(s) being procured. Nonconformances found during receipt inspection shall be processed in accordance with EM Department Procedure 3-21000-ADM 15.01.

NOTE

Resolution of nonconformances requires concurrence of EMD QA.

9. Other applicable documentation.

5.3 Ongoing Contract/Task Operations

- 5.3.1 The Requisitioner/STR manages technical aspects of the contract. This includes vendor contact, issue of COT documents as necessary, review of products and services, and certification of the acceptability of performance.
- 5.3.2 The Requisitioner/STR approves products, services, and invoices submitted.
- 5.3.3 The Requisitioner/STR monitors subcontractor performance, and informs ERIMD of potential problems.

- 5.3.4 ERIMD shall contact the RFP procurement organization as necessary, provide advice as to potential problem resolution, or take other actions necessary to resolve the problem.
- 5.3.5 ERIMD shall inform the Requisitioner/STR and/or obtain the Requisitioner/STR's participation in the problem resolution process.
- 5.3.6 ERIMD shall provide the EMD Director with a monthly report that provides the current status of subcontract activities.
- 5.3.7 ERIMD shall flag potential problems, suspense dates, or subcontract/task expiration dates to the responsible Requisitioner/STR.

5.4 Purchase Requisition Package Review and Approval (see Appendix 1)

- 5.4.1 The PR package and applicable drawings, specifications, catalogs, receiving inspection reports, and other necessary documents that make up the PR package are reviewed for technical adequacy by the Requisitioner/STR and for quality requirements specified by the Requisitioner/STR and/or EMD QA.
- 5.4.2 The reviewers of PR packages shall have access to pertinent information and shall have adequate understanding of the requirements of the procurement documents.
- 5.4.3 ERIMD shall ensure that the following requirements are met:
 - 1. Requisitioner/STR approval is obtained.
 - 2. PO and revision number is indicated on cover page.

3. PR package and revisions(s) are indicated on cover page (Purchase Order and Change Order only).
4. All technical specifications and quality requirements are included as indicated in the corresponding PR package and any supplemental PR package requirements.
5. QA requirements are correctly stated, inspectable, and controllable.
6. Adequate acceptance and rejection criteria are established.
7. Procurement documents have been prepared, reviewed, and approved in accordance with this procedure.
8. The requisitions are reviewed for inclusion of QA and technical requirements, tracked, and, if acceptable, approved and forwarded to the RFP procurement organization for further processing.
9. Changes resulting from bid evaluation or precontract negotiations have been incorporated into the procurement documents.

5.5 Procurement Document Changes

5.5.1 Changes to POs/subcontracts shall be initiated by using formal documentation containing the information in Section 5.1.1. The documentation shall specify all changes to terms and conditions of the original PO/subcontract (e.g., quality requirements, technical requirements).

1. Document any changes in technical or quality requirements.

2. All changes to procurement documents shall be reviewed consistent with Section 5.3.
3. During the review of changes to procurement documents, the following provisions shall be included:
 - a. Appropriate contents are included, as required by Section 5.1.
 - b. Additional or modified design or site investigation criteria is determined.
 - c. Requisitioner/STR performs an analysis of exceptions or changes requested by the supplier and then determines the impact on performance or quality of the item(s) or service(s).

6.0 RECORDS

The records generated by this procedure are the Requisition Package, the Purchase Order Package, the associated review sheets, and the forms in the Appendix to this procedure.

7.0 REFERENCES

1. Environmental Management Department Quality Assurance Program Description (EM Department QAPD).
2. EM Department Quality Procedure 7.01, Control of Purchased Items and Services.
3. EM Department Procedure 3-21000, 15.01, Control of Nonconforming Items.

4. EM Department Procedure 17.01, Quality Assurance Records.
5. Site Quality Assurance Manual, QR-4 and QR-7. Site Procurement Manual.
6. Environmental Management Department Document Preparation Guidance, 3-21000-GD.02.

APPENDIX 1

PROCUREMENT DOCUMENT CHECKLIST

The appropriate Environmental Management Department/Division Technical Reviewer and Quality Coordinator shall perform a review of all Purchase Requisition (PR) Packages, Purchase Orders, and Requests for Proposals to ensure that the applicable technical and quality requirements are included within each procurement package.

1. Are the procurement Documents identified on the face of the document by:
 - a. Charge number yes ☐ no ☐
 - b. QA Level yes ☐ no ☐
 - c. Division ID yes ☐ no ☐
 - d. Other yes ☐ no ☐
2. Are all applicable documents included or referenced:
 - a. Drawings yes ☐ no ☐
 - b. Specifications yes ☐ no ☐
 - c. Receiving Inspection Report (RIR) yes ☐ no ☐
3. Is adequate information provided to include:
 - a. Applicable regulatory requirements yes ☐ no ☐
 - b. Design bases yes ☐ no ☐
 - c. Other requirements to assure that yes ☐ no ☐
adequate technical and quality requirements are included or referenced in the procurement package as required for the above QA Level.

Appendix 1 (continued)

4. Does the procurement document include provisions for:
- a. Scope of work. yes ___ no ___
 - b. Technical requirements. yes ___ no ___
 - c. Codes, standards, specifications, instructions, procedures, including revisions thereto, that include items/services to be provided. yes ___ no ___
 - d. Identification of tests, inspections, and acceptance requirements for monitoring and evaluating the suppliers performance. yes ___ no ___
 - e. Is the supplier required to have a QA program? yes ___ no ___
 - 1) Does it address applicable portions of the requirements of the EM Department QAPD and paragraph 5.2.1 (4) of this procedure? yes ___ no ___
 - 2) All of the requirements of the EM Department QAPD and paragraph 5.2.1 (4) of this procedure? yes ___ no ___
 - f. Does this document provide for "Right of Access" for each tier of the procurement? yes ___ no ___

Appendix 1 (continued)

- g. Does this document require documentation requirements at all tiers of the procurement to include: yes ____ no ____
- 1) Time of submittal. yes ____ no ____
- 2) Maintenance of specific QA records, retention times, and disposition requirements. yes ____ no ____
- h. Does this document provide for appropriate spare and replacement parts, and the technical and quality-related data required for ordering parts or assemblies? yes ____ no ____
- i Is the supplier required to submit all nonconformance reports, including those occurring at the supplier facility, for disposition and/or approval? yes ____ no ____
- j. Does the supplier appear on the Qualified Suppliers List for the item/service to be supplied. yes ____ no ____

Appendix 1 (continued)

5. Will subcontractor field workers be exposed or potentially be exposed to hazardous materials or wastes? yes ____ no ____
- a. Have provisions been included to assure that all subcontractor workers have received 40 hour OSHA training? yes ____ no ____
- b. Have provisions been included to assure that all subcontractor workers have received an RFP approved baseline physical? yes ____ no ____
- c. Have provisions been included to assure that all supervisors of subcontractor workers have received the RFP 8-hour OSHA Site-Specific Management Training? yes ____ no ____
- d. Have provisions been included to assure that all subcontractor workers have received RFP 24-hour On-The-Job-Training? yes ____ no ____

The above procurement package has been appropriately reviewed in accordance with the requirements of this procedure.

Quality Coordinator

Dept./Div. _____ Date _____

APPENDIX 2

**INSTRUCTION FOR PREPARATION AND USE OF
RECEIVING INSPECTION REPORT FORM**

PURPOSE

The intent of this instruction is to detail the preparation and use of the Receiving Inspection Report Form (RIR).

POLICY

To inspect EM Department procured materials, supplies, and equipment upon their receipt at the Rocky Flats Site to determine conformance to purchase order requirements.

METHOD

A RIR shall be prepared as follows: (Number references are made to space numbers on accompanying form). NOTE: "A" indicates information at time of RIR preparation. "B" indicates information recorded at time of inspection.

- 1A. Item name.
- 2A. Part number, specification number, model number, or other identifying number.
- 3A. Use charge number, followed by fiscal year, followed by sequential number; i.e., 562-92-001.
- 4A. Date RIR is prepared.
- 5A. Name of RIR preparer.
- 6B. Show the entire number as it appears on the purchase order, including the vendor sequence number and the FY.
- 7B. Buyer from the purchase order.
- 8B. Purchase order number from the purchase order.

- 9B. Name of supplier from the purchase order.
- 10B. Date inspection is completed.
- 11B. Where the item is inspected.
- 12B. Clearly printed name of inspector.
- 13B. Quantity ordered from the purchase order.
- 14B. The number of identical items received.
- 15B. Number of items inspected.
- 16B. Number of items found acceptable.
- 17B. Number of items not meeting purchase order requirements. This may be the entire lot or part of the lot.
- 18B. List of those characteristics to be inspected. Each characteristic to be separated from the others by a line drawn from one margin to the other, through the inspector's column. Typical inspection characteristics are shown later in this procedure.
- 19B. When the particular characteristic is inspected, the inspector initials in the adjacent space if acceptable. If not acceptable, the Nonconformance Report number is placed there.
- 20B. List comments. This space may be used to record anomalies in other parameters than those listed in Space 18A.
- 21B. Inspector signs here followed by signature or requisitioning department manager, or designee.

Appendix 2 (continued)
Sample RIR

RECEIVING INSPECTION REPORT

ITEM 1A		PART NO. 2A	RIR CHG NO. 3A	
PREPARED BY 5A		BUYER 7B	RIR DATE 4A	
PURCHASE ORDER NO. 6B	ITEM NO. 8B	VENDOR 9B		
INSPECTOR 12B		LOCATION INSPECTED 11B		DATE INSPECTED 10B
QUANTITY ORDERED 13B	QUANTITY RECEIVED 14B	QUANTITY INSPECTED 15B	QUANTITY ACCEPTED 16B	QUANTITY REJECTED 17B

REQUIREMENTS		INSPECTOR
18B		19B
COMMENTS 20B		21B _____ INSPECTOR _____ DEPARTMENT MANAGER